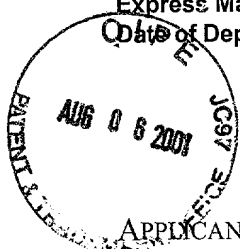


Express Mail No.: EL870145661US

Date of Deposit: August 6, 2001

Attorney Docket No.: 00689-511 (BGN-11 CIP)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Johansen et al.

SERIAL NUMBER: 09/804,615

EXAMINER: Not Yet Assigned

FILING DATE: March 12, 2001

ART UNIT: 1646

FOR: NOVEL NEUROTROPHIC FACTORS

Box MISSING PARTS

Assistant Commissioner for Patents

Washington, D.C. 20231

TRANSMITTAL LETTER

Transmitted herewith for filing in the present application are the following documents:

Response to Notice to File Missing Parts (1 pg.);  
Executed Declaration and Power of Attorney (2 counterparts; 6 pgs.);  
Copy of Notice to File Missing Parts of Nonprovisional Application (2 pgs.);  
Computer Readable Form copy of the "Sequence Listing" (1 diskette);  
Statement in Support of Computer Readable Form (1 pg.);  
Paper copy of the "Sequence Listing" (29 pgs.);  
Preliminary Amendment (2 pgs.);  
Check in the amount of \$130.00 (#9728); and  
Return Post Card.

Although Applicants believe that appropriate fees due in connection with this submission are provided, the Commissioner is authorized to credit any overpayment or charge any deficiencies to Deposit Account No. 50-0311, Reference No. 00689-511 CIP (BGN-11). A duplicate copy of this Transmittal is enclosed.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at (617) 542-6000, Boston, Massachusetts.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Ivor R. Elrifi".

Ivor R. Elrifi, Registration No. 39,529  
MINTZ, LEVIN, COHN, FERRIS,  
GLOVSKY and POPEO, P.C.  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241

Dated: August 6, 2001

Express Mail Label No. EL870145661US

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Attorney Docket No.: 00689-511 (BGN-11 CIP)

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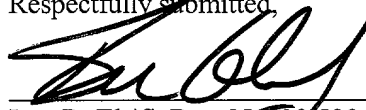
**RESPONSE TO NOTICE TO FILE MISSING PARTS**

In response to the Notice To File Missing Parts mailed June 4, 2001, Applicants submit herein the following: copy of Form PTO-3157; Declaration and payment of the surcharge for late filing (\$130.00) set forth in 37 C.F.R. § 1.16(e); Computer Readable Form copy of the "Sequence Listing" (1 diskette), Statement in Support of Computer Readable Form; Preliminary Amendment (2 pgs.); and paper copy of the "Sequence Listing" (29 pages). With no extension of time this Response is due on or before August 6, 2001 (August 4, 2001 being a Saturday).

As part of the Sequence Listing, Applicants include sequences 1-12, 15, 16 and 33 which were presented in priority application USSN 09/347,613, which has been incorporated by reference in its entirety.

Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 00689-511 (BGN-11 CIP).

Respectfully submitted,



Ivor R. Elrifi, Reg. No. 39,529

Attorney for Applicants

c/o MINTZ, LEVIN

One Financial Center

Boston, Massachusetts 02111

Tel: (617) 542-6000

Fax: (617) 542-2241

Date: August 6, 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/804,615	03/12/2001	Teit E. Johansen	00689-511 (C045 CIP)

RECEIVED

CONFIRMATION NO. 3157

FORMALITIES LETTER

JUN 07 2001



\*OC000000006141007\*

MINTZ, LEVIN, COHN, FERRIS,  
GLOVSKY AND POPEO, P.C.  
One Financial Center  
Boston, MA 02111

MINTZ LEVIN, BO.  
PATENT DOCKET

Date Mailed: 06/04/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

REMINDER 16JL2001  
ACTION DUE 04A2001  
END OF STAT 04A2002

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

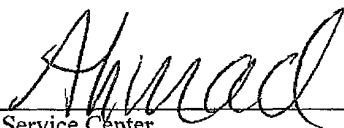
- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600

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- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice MUST be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

109045-00001

Express Mail Label No.: EL870145661US

Date of Deposit: August 6, 2001

Attorney Docket No.: 00689-511 (BGN-11 CIP)

#4

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Johansen, et al.

SERIAL NUMBER: 09/804,615

EXAMINER: Not Yet Assigned

FILING DATE: March 12, 2001

ART UNIT: 1646

FOR: NOVEL NEUROTROPHIC FACTORS

Commissioner for Patents and Trademarks  
Washington, D.C. 20231

**STATEMENT IN SUPPORT OF COMPUTER READABLE  
FORM SUBMISSION UNDER 37 C.F.R. § 1.821(f)**

I hereby state that the content of the paper and computer readable forms of the Sequence Listing, submitted in the above-identified application in accordance with 37 C.F.R. § 1.821(c) and 1.821(e), respectively, are the same. No new matter is added.

Respectfully submitted,



Ivor R. Elrifi, Reg. No.: 39,529

Attorney for Applicants

c/o Mintz, Levin

One Financial Center

Boston, MA 02111

Telephone (617) 542 6000

Fax (617) 542 2241

Date: August 6, 2001

09/804,615-00001